

Basel, 25.11.2014

Form 210A (10/06)

**United States Bankruptcy Court  
Southern District Of New York**

In re Lehman Brothers Holdings Inc., et al.,

Case Nos. 08-13555 (JMP)  
(Jointly Administered)

**FILED / RECEIVED**

**DEC 03 2014**

**EPIQ BANKRUPTCY SOLUTIONS, LLC**

**NOTICE OF PARTIAL TRANSFER OF CLAIM OTHER THAN FOR  
SECURITY, PURSUANT TO FED. R. BANKR. P. 3001(e)(2)**

A CLAIM HAS BEEN FILED IN THIS CASE, by Credit Suisse AG (the "Transferor"), against Lehman Brothers Holdings Inc., which has been designated as Claim No. 55829 (the "Claim"). Transferee (as that term is defined below) hereby gives evidence and notice, pursuant to Fed. R. Bankr. P. Rule 3001(e)(2), of the transfer, other than for security, of a ratable portion of the Claim, in the nominal amount of USD 150,000 (the "Transferred Portion"). For the avoidance of doubt, the Transferred Portion relates to ISIN XS0299103084 only. Transferor is retaining the remaining portion of the Claim. A copy of the Evidence of Transfer of Claim (the "Evidence of Transfer") is attached hereto as Exhibit "A" and is incorporated by reference.

Name of Transferee

Bank Sarasin & Co. Ltd

Name and Address where notices to Transferee  
should be sent:

Bär & Karrer AG  
Brandschenkestrasse 90  
CH-8027 Zurich  
Switzerland  
Attn: Peter Hsu  
Tel.: +41 58 261 50 00

**- with a copy to -**

Bank J Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland  
Attn: Frank Link, Senior Legal Counsel, Legal Front-  
and Back-Office Functions  
Tel.: +41 (0) 58 317 45 83  
Patrick Gribi, Head Legal Front- and Back-Office  
Functions  
Tel.: +41 (0) 58 317 40 67

Name of Transferor

Credit Suisse AG

Name and Address where notices  
to Transferor should be sent:

Credit Suisse AG  
1 Madison Avenue  
New York, NY 10010  
Attn: Allen Gage  
Tel.: +1 212 538 9137

**- with a copy to -**

Cravath, Swaine & Moore LLP  
Worldwide Plaza  
825 Eighth Avenue  
New York, NY 10019  
Attn: Richard Levin  
Tel.: +1 212 474 1135

Last Four Digits of Acct #: 4002

Last Four Digits of Acct. #: N/A

Name and Address where transferee payments  
should be sent (if different from above):

Bank J Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland

Attn: Frank Link, Senior Legal Counsel, Legal Front-  
and Back-Office Functions

Tel.: +41 (0) 58 317 45 83

Patrick Gribi, Head Legal Front- and Back-Office  
Functions

Tel.: +41 (0) 58 317 40 67

Court Claim # (if known): 55829

Date Claim Filed: October 29, 2009

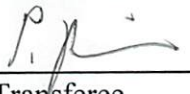
Transferred Portion: USD 150,000  
(nominal amount)

I declare under penalty of perjury that the information provided in this notice is true and correct  
to the best of my knowledge and belief.

By:   
Transferee

Name: Frank Link  
Title: Vice President

Date: 25.11.2014

By:   
Transferee

Name: Patrick Gribi  
Title: Executive Director

Date: 25.11.2014

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years,  
or both. 18 U.S.C §§ 152 & 3571.

Exhibit A

**EVIDENCE OF TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **Credit Suisse AG** ("Transferor") unconditionally and irrevocably transferred to **Bank Sarasin AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 55829**) relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS  
EXECUTED ON December 20, 2012.

**Credit Suisse AG**

By: 

Name: Adrian Graf

Title: AVP

By: 

Name: Irma Bauer

Title: VP



**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

ISIN	Court Claim #	Date Claim Filed	Issuer	Number of Units or Currency and Nominal Amount
XS0299103084	55829	October 29, 2009	Lehman Brothers Treasury BV	USD 150'000.00

SCHEDULE I

Lehman Programs Securities Related to Transferred Portion of Claim:

ISIN	Court Claim #	Date Claim Filed	Issuer	Number of Units or Currency and Nominal Amount
XS0299103084	55829	October 29, 2009	Lehman Brothers Treasury BV	USD 150'000.00

Peter Hsu  
Rechtsanwalt, LL.M.  
+41 58 261 53 94  
peter.hsu@baerkarrer.ch

**BÄR  
& KARRER**

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA

Zurich, 2 December 2014  
367674/312/wed/x24176306.doc

**Bank J. Safra Sarasin Ltd**  
**Partial Transfers of Claim other than for Security, Epiq Claim No. 55829**

Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd (formerly Bank Sarasin & Co. Ltd), we are sending you enclosed the following eight original copies of the completed 210A transfer forms (Enclosures 1.1 to 1.8), including copies of the evidence of transfer of claim regarding the partial transfer of claim no. 55829 against Lehman Brothers Holdings Inc.:

- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0325369725 (Enclosure 1.1; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0302356737 (Enclosure 1.2);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0325369725 (Enclosure 1.3; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0299103084 (Enclosure 1.4; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0302356737 (Enclosure 1.5);

- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. CH0036891429 (Enclosure 1.6; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0339537390 (Enclosure 1.7; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0267329307 (Enclosure 1.8).

The transferor is Credit Suisse AG.

Bank Sarasin & Co. Ltd changed its name into Bank J. Safra Sarasin Ltd. For evidence of the name change, please see a copy of the related media releases (Enclosures 1.9 and 1.10) and the company's entry in the commercial register (Enclosure 1.11) (see partial transfer of claims referred in the relating transfer documents: Enclosures 1.1, 1.3, 1.4, 1.6 and 1.7). Please use the new company name for the registration.

Sincerely yours,



Peter Hsu

Enclosures



Dr. Peter Hsu  
Rechtsanwalt, LL.M.  
+41 58 261 53 94  
peter.hsu@baerkarrer.ch

**BÄR  
& KARRER**

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3<sup>rd</sup> Floor  
New York, NY 10017  
USA

Zurich, 2 December 2014  
367674/312/wed/x24176302.doc

**Bank J. Safra Sarasin Ltd**  
**Partial Transfers of Claim other than for Security, Epiq Claims No. 55829,**  
**No. 55814-27, No. 35896 and No. 51762**

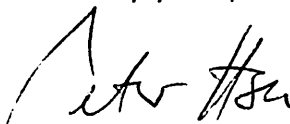
Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd (formerly Bank Sarasin & Co. Ltd), we are sending you enclosed 11 original copies of the completed 210A transfer forms, including copies of the evidence of transfer of claim regarding the partial transfer of claims (referring to claims no. 55829, no. 55814-27, no. 35896 and no. 51762) against Lehman Brothers Holdings Inc. by the following transferors:

1. Credit Suisse AG (see package 1);
2. Neue Aargauer Bank AG (see package 2);
3. BNP Parisbas (Suisse) SA (see package 3); and
4. HSBC Private Bank (Suisse) S.A. (see package 4).

As indicated above, Bank Sarasin & Co. Ltd changed its name into Bank J. Safra Sarasin Ltd. For evidence of the name change, please see a copy of the related media releases and the company's entry in the commercial register attached to the relevant packages including copies of the transfer forms where the former name has still been used in the evidence of transfer of claim (see package 1 and 2).

Sincerely yours,



Peter Hsu

Enclosures

Weight

0	g
1	kg
3	21 g
5	g
10	kg
15	kg
2	kg
8	25 kg

EXPRESS WORLDWIDE  
IntraShip (7 0) / \*17-1409\*

DOX **DHL**

From Bar & Karier Rechtsanwälte  
Peter Hölz, 058 261 50 00  
Bürschliwegstrasse 20  
Postfach 1546  
8027 Zürich  
CH SWITZERLAND

Origin  
ZRH

To  
Epiq Bankruptcy Solutions, LLC  
Lehman Brothers Holdings Corp.  
Processing  
757 Third Avenue, 3rd floor  
10017 NEW YORK NEW YORK  
US UNITED STATES OF  
AMERICA

Phone  
1 800 314 55

EXPRESS WORLDWIDE

DOX **DHL**

10017 NEW YORK, United States

Origin  
ZRH

JFKL

US-ZYP-TS2

Day Time

Account No. 150041953  
Ref code

Date: Pce / Sght Weight Pecn  
1.00 / 1.00 KG 1/1



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